



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/931,834	08/17/2001	Kevin Robert Coffey	YOR920010658US1

CONFIRMATION NO. 4541

FORMALITIES LETTER

OC000000006568878

IBM CORPORATION
INTELLECTUAL PROPERTY LAW DEPT.
P.O. BOX 218
YORKTOWN HEIGHTS, NY 10598

Date Mailed: 09/18/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:


- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);
 - Drawings must be in dark ink (not pencil), except where color drawings or photographs are permitted.
 - Drawings must be reasonably free from erasures and must be free from alterations, overwritings, interlineations, folds, and copy marks.

*A copy of this notice **MUST** be returned with the reply.*

01/23/2002 ANDBI1 00600033 090468 09931834 130.00 CH 01 FC:105

2002-09-18 14:00:00




Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

09031814-01120



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of: Kevin R. Coffey, et al. Confirmation No. 4541

Serial No.: 09/931,834

COPY OF PAPERS
ORIGINALLY FILED

Examiner:

Filed: August 17, 2001

Group Art: 2651

For: ASSEMBLY COMPRISING ADJUSTABLE HEAT FLUX MECHANISM FOR
THERMALLY ASSISTED/THERMAL INFORMATION PROCESSING AND
CONTROL

Commissioner for Patents
Washington, D. C. 20231

CERTIFICATE OF MAILING UNDER 37 CFR 1.8(a)

I hereby certify that the attached correspondence comprising:

1. Acknowledgement Postcard
2. Notice to File Missing Parts
3. Response to Notice to File Missing Parts
4. Executed Declaration and Power of Attorney
5. (3) Formal Drawings
5. Assignment to IBM with Recordation Form

is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

*Commissioner for Patents
Washington, D.C. 20231*

on November 9, 2001.

Kathy Cognatello

(Type or print name of person mailing paper)

Kathy Cognatello

(Signature of person mailing paper)

Docket No.: YOR920010658US1

#3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of: Kevin R. Coffey, et al.
Serial No.: 09/931,834
Filed: August 15, 2001

Confirmation No. 4541
Examiner:
Group Art: 2651



For: ASSEMBLY COMPRISING ADJUSTABLE HEAT FLUX MECHANISM FOR
THERMALLY ASSISTED/THERMAL INFORMATION PROCESSING AND
CONTROL

Commissioner for Patents
Washington, D. C. 20231

RESPONSE TO NOTICE TO FILE MISSING PARTS

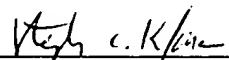
Sir:

Submitted herewith is a Declaration, properly signed by the Applicants
referencing application Serial No. 09/931,834 as originally filed on August 15, 2001.
Accordingly, the above-identified application is now complete. Please charge Deposit
Account No. 09-0468 in the amount of \$130.00 for the surcharge for filing the
Declaration on a date later than the filing date of the application as set forth in 37 CFR
1.16(e).

Also in the Notice to File Missing Parts, the application was designated as
informal and require substitute drawings in compliance with 37 CFR 1.84. In response
to this notice, applicants have herewith submitted three (3) Formal Drawings along with
a copy of the Notice. No fees are believed to be necessary at this time. However, in
the event that any fees are required for the prosecution of this application, please
charge any necessary fees to Deposit Account 09-0468. No extension of time is
believed to be necessary. If, however, an extension of time is needed, the extension is
requested. Please charge the fee for this extension to Deposit Account No. 09-0468.

Dated: November 09, 2001

Respectfully submitted,



Stephen C. Kaufman
Reg. No. 29,551
(914) 945-3197
Attorney for Applicant

IBM CORPORATION
Intellectual Property Law Dept.
P.O. Box 218
Yorktown Heights, New York 10598
Fax: (914) 945-3281

IBM Docket No. YOR920010658US1

RECEIVED